

Commonwealth of Massachusetts
Department of the State Treasurer
Alcoholic Beverages Control Commission
239 Causeway Street
Boston, MA 02114
Telephone: (617) 727-3040
Fax: (617) 727-1258

Timothy P. Cahill
Treasurer and Receiver General

Eddie J. Jenkins
Chairman

CERTIFICATE OF COMPLIANCE APPLICATION

-APPLICATION PROCEDURES-

PLEASE ANSWER **ALL** QUESTIONS ON THE APPLICATION FULLY AND ACCURATELY. APPLICATIONS NOT COMPLETED OR PROPERLY SIGNED WILL BE RETURNED.

SHOULD YOU NEED ASSISTANCE WITH THIS APPLICATION – PLEASE CONTACT DERON BOBB AT 617-727-3040 Ext. 23.

WEBSITE ADDRESS: WWW.MASS.GOV/ABCC

Please note, question #3

- A) Type or print the location **FROM** which alcoholic beverages are to be shipped **INTO** Massachusetts. Do not put the mailing address unless it is the shipping location. There is a separate line at the bottom of the application for the mailing address.
- B) On the line where indicated, give the area code and telephone number at which an authorized individual can be contacted regarding your Certificate of Compliance application.
- C) If this is a **RENEWAL**, please insert your **existing license number** at the top right hand corner of the application (**NO. C...**) If this is a **NEW LICENSE**, please indicate by writing **“NEW”** at the top right hand corner of the application.

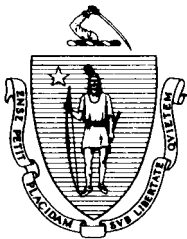
- PAYMENT AND MAILING PROCEDURES-

ALL APPLICANTS MUST COMPLETE THE ENCLOSED MONETARY TRANSMITTAL FORM. PRINT OR TYPE YOUR NAME, ADDRESS, CITY/TOWN, STATE, ZIP CODE, COUNTRY ON THE MONETARY TRANSMITTAL FORM, ATTACH YOUR PAYMENT AND APPLICATION TO THE FORM.

MAIL TO: ALCOHOLIC BEVERAGES CONTROL COMMISSION
P.O. BOX 3396
BOSTON, MA 02241-3369

CHECKS MUST BE MADE PAYABLE TO THE COMMONWEALTH OF MASSACHUSETTS AND DRAWN ON ANY AMERICAN BANK.

QUESTION 4A: Please provide the date of registration and number or receipt number of registration filed with the Food and Drug Administration in compliance with the ***Public Health Security and Bioterrorism Preparedness And Response Act of 2002.***



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20____
CERTIFICATE OF COMPLIANCE APPLICATION
(Please type or print).

NO. C.....

(HIGHLIGHT ALL CHANGES FROM LAST APPLICATION FILED

Application is hereby made for a certificate as required by the provisions of Section 18B of Chapter 138 of the Massachusetts General Laws.

1. _____
(Full name of business including dba, if any)

2. State below if the applicant is an individual, partnership or corporation.

3. State below the location of each premises **from** which alcoholic beverages are to be shipped to Massachusetts licensed Wholesalers and Importers.

(Street and number, City/Town, State-Country-if outside U.S.A.)

(Area Code) Telephone Number

4. List the licenses(s) you hold which authorize the exportation or sale of alcoholic beverages to licensees in this Commonwealth and the Licensing Authority which issued said license (*Must correspond with No. 3 if licensing is mandatory by said State or Foreign Country).

NAME LICENSE

STATE LICENSING AUTHORITY

4A. Have you registered with the Food and Drug Administration? Date of Registration: _____

FDA REGISTRATION NO. _____

5. Do you or any member of your immediate family or does the Corporation or Partnership that you or any member of your immediate family belong to, own directly or indirectly 10% or more of any financial and/or beneficial interest of any Massachusetts License? No _____ Yes _____

(Note: Chapter 138, Section 18B defines immediate family as "the certificate holder and his/her spouse and their parents, children, brothers and sisters").

IF YES, List below the name of the individual, title and name of the Massachusetts licensee.
(Attach separate sheet if needed.)

6. List any person or entity representing you as an agent, broker or solicitor in Massachusetts.

(Name and Address)

(Phone #)

7. List Massachusetts Wholesaler/Importer(s) who are distributing your products and the products each distributes. (Type or Print.) Please attach additional page if more space is needed.

WHOLESALER/IMPORTER

PRODUCTS DISTRIBUTED

8. Pursuant to M.G.L. Ch. 62C, Sec. 49A, I certify under the penalties of perjury that I, to my best knowledge and belief, have filed all state tax returns and paid all state taxes required by law.

Social Security Number

Signature of Individual Date
or Corporation Name

Federal Identification Number

by: _____
Corporation Officer Date
(if applicable)

NOTATION REGARDING TAX ATTESTATION: No License, Permit or Certification will be issued unless the attestation is signed whether or not applicant believes he/she is required to file or pay Massachusetts taxes.

THE STATEMENTS IN THIS APPLICATION ARE MADE UNDER THE PENALTY OF PERJURY

9. Signature of Applicant _____
(Title or Position) Date

10. Mail Address _____

(Area Code) Telephone Number

NOTE: ONLY DULY LICENSED MASSACHUSETTS WHOLESALEERS AND IMPORTERS ARE AUTHORIZED UNDER THE LAWS OF THE COMMONWEALTH OF MASSACHUSETTS TO IMPORT ALCOHOLIC BEVERAGES INTO THIS STATE BUT THEY ARE PROHIBITED FROM IMPORTING SUCH BEVERAGES FROM OTHERS THAN HOLDERS OF CERTIFICATES FOR WHICH YOU HEREBY APPLY.

Fee \$500.00 – or \$200.00

*Fee \$200.00 if Certification below is applicable and signed:

Money Order/Check (drawn on any American Bank)
Payable to the Commonwealth of Massachusetts.

I hereby note that the regular fee is \$500.00 .I hereby certify that in paying the \$200.00 fee, the applicant herein intends to ship in the Commonwealth no more than 5000 cases of any alcoholic beverage during the calendar year, and further certify that in the event that more than that amount is shipped during the calendar year, the applicant will pay forthwith with an additional fee of \$300.

11. _____
Signature Date



THE COMMONWEALTH OF MASSACHUSETTS
ALCOHOLIC BEVERAGES CONTROL COMMISSION
THIS SCHEDULE MUST BE TYPEWRITTEN OR PRINTED

SCHEDULE OF PRICES TO WHOLESALERS

Effective for the month of _____ 20__

This schedule is subject to such rules and regulations as the Alcoholic Beverages Control Commission has or may hereafter adopt.

The undersigned licensee (or his duly authorized representative) files the following schedule of prices pursuant to the requirements of Sections 25A and 25B, Chapter 138 of the General Laws, as amended. This schedule is signed under the penalties of perjury.

Date
(Street Address of licensed premises)

.....
(Name of Licensee) (City or Town)

Signed by
(Signature) (Massachusetts License or Certificate Number)

Type of Beverage and brand name	Capacity of Container	Where stated on label			PRICE		No. Of Bottles Per Case	Discount for Quantity
		Age	If a blend % and kind of Neutral Spirits	Proof or Alcoholic Content	Per bottle (if so sold)	Per Case		

**THIS TRANSMITTAL MUST ACCOMPANY YOUR APPLICATION IN ORDER
TO ASSURE PROPER CREDIT.**

PLEASE DO NOT SEND CASH.

PLEASE MAKE YOUR CHECKS PAYABLE TO COMMONWEALTH OF MASSACHUSETTS, ABCC.

MAIL THIS TRANSMITTAL ALONG WITH YOUR CHECK AND COMPLETED APPLICATION TO:

**ALCOHOLIC BEVERAGES CONTROL COMMISSION
POST OFFICE BOX 3396
BOSTON, MA 02241-3396**

APPLICANT MUST COMPLETE THE FOLLOWING:

NAME:			
ADDRESS:			
CITY/TOWN:	STATE:	ZIP CODE:	
COUNTRY:	DATE:		

1	LICENSE NAME	2	REV. CODE	3	# OF PERMITS, LICENSES, CERTIFICATES REQUESTED	4	FEE AMOUNT	5	TOTAL (COL.3 X COL.4)
	CERT. OF COMP. (<5000 CASES)		3100		\$ 200		\$		
	CERT. OF COMP. (>5000 CASES)		3100		\$ 500		\$		
							CHECK TOTAL	\$	

MASSACHUSETTS GENERAL LAWS, CHAPTER 138

CHAPTER 138: SECTION 18B. ISSUANCE OF CERTIFICATES OF COMPLIANCE TO LICENSEES AUTHORIZED TO EXPORT OR SELL ALCOHOLIC BEVERAGES TO DOMESTIC LICENSEES; INFORMATION CONCERNING SHIPMENTS; ISSUANCE OF CERTIFICATES TO IMMEDIATE FAMILY; CANCELLATION AND REVOCATION OF CERTIFICATES.

SECTION 18B. The commission shall issue a certificate of compliance to a licensee having a place of business located, and a license granted, outside the commonwealth and whose license authorizes the exportation or sale of alcoholic beverages to licensees in this commonwealth; provided, that such certificate shall be issued upon the condition that the holder shall furnish from time to time as the commission may require, but in no event more often than once each month, information concerning all shipments or sales of alcoholic beverages made by him to licensees in this commonwealth, and that he comply with the provisions of this chapter and any rules or regulations made under authority contained therein which pertain to a licensee of the same class, type or character, doing business in this commonwealth under a license issued by the commission. The commission may suspend, cancel or revoke any certificate issued hereunder for a violation of the terms or conditions thereof. All certificates shall be issued to expire December thirty-first of the year of issuance and the fee therefor shall not exceed ten dollars.

No person who holds a certificate under this section shall hold or be granted a license under section eighteen. A person shall be deemed to hold a certificate under this section and a license under section eighteen if such person or any member of his immediate family holds such a certificate and license. As used in this section the words "immediate family" shall include the certificate holder and his spouse and their parents, children, brothers and sisters.

Violation of the provisions of this section shall be cause for the revocation of all certificates and licenses held by the certificate holder and his immediate family.

In the case of a corporate certificate holder or licensee any person or his immediate family who owns more than ten percent of the stock of such corporation shall be deemed to be the certificate holder or licensee under this section.